

UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/871,084	05/30/2001	Frederick D. Weber	TT3763

CONFIRMATION NO. 2031

## FORMALITIES LETTER



\*OC00000006235719\*

Louis H. Iselin, Ph.D.  
Williams, Morgan & Amerson, P.C.  
Suite 250  
7676 Hillmont  
Houston, TX 77040

Date Mailed: 06/28/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The signature of the following inventor(s) is missing from the oath or declaration:  
*Geoffrey S. Strongin*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

---

*A copy of this notice **MUST** be returned with the reply.*

  
Customer Service Center

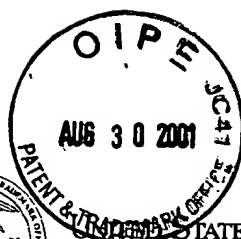
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

09/04/2001 MAHME1 00000089 09871084

01 FC:105

130.00 OP



UNITED STATES PATENT AND TRADEMARK OFFICE

 COMMISSIONER FOR PATENTS  
 UNITED STATES PATENT AND TRADEMARK OFFICE  
 WASHINGTON, D.C. 20231  
 www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/871,084	05/30/2001	2131	2090	TT3763	73	70	9

CONFIRMATION NO. 2031

## FILING RECEIPT



\*OC000000006235718\*

Louis H. Iselin, Ph.D.  
 Williams, Morgan & Amerson, P.C.  
 Suite 250  
 7676 Hillmont  
 Houston, TX 77040

Date Mailed: 06/28/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Frederick D. Weber, San Jose, CA;  
 Dale E. Gulick, Austin, TX;  
~~Geoffrey S. Strongin, Austin, TX,~~

a CIP of 09/853,446 05/11/2001,  
 a CIP of 09/853,447 05/11/2001,  
 a CIP of 09/853,225 05/11/2001,  
 a CIP of 09/854,040 05/11/2001,  
 a CIP of 09/853,443 05/11/2001,  
 a CIP of 09/853,437 05/11/2001,  
 a CIP of 09/853,335 05/11/2001,  
 a CIP of 09/853,234 05/11/2001,  
 a CIP of 09/852,372 05/10/2001,  
 and a CIP of 09/852,942 05/10/2001.

## Domestic Priority data as claimed by applicant

THIS APPLICATION IS A CIP OF 09/853,395 05/11/2001,

## Foreign Applications

If Required, Foreign Filing License Granted 06/27/2001

Projected Publication Date: Request for Non-Publication Acknowledged

Non-Publication Request: Yes

Early Publication Request: No

## Title

Locking mechanism override and disable for personal computer ROM access protection

override

713

**Data entry by : TAN, LEA-YUET**

**Team : OIPE**

**Date:** 06/28/2001

~~CONFIDENTIAL~~



CERTIFICATE OF MAILING  
37 C.F.R. § 1.8

I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage as First Class Mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on the date below:

8-28-01  
Date

*Josh Newman*  
Signature

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:  
Frederick Weber  
Dale E. Gulick

Serial No.: 09/871,084

Filed: 05/30/2001

For: LOCKING MECHANISM OVERRIDE  
AND DISABLE FOR PERSONAL  
COMPUTER ROM ACCESS  
PROTECTION

Group Art Unit: 2131

Examiner: Unknown

Atty. Dkt. No.: 2000.039000/TT3763

**RESPONSE TO 37 C.F.R. § 1.53(F) NOTICE**

**BOX MISSING PART**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

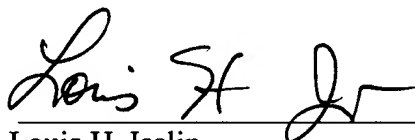
In response to the Notice to File Missing Parts of Application Under 37 C.F.R. § 1.53(f), dated June 28, 2001, there are enclosed herewith:

- (a) A corrected Declaration executed on behalf of Frederick D. Weber;
- (b) A copy of Notice to File Missing Parts of Application-Filing Date Granted; and
- (c) A check in the amount of \$130.00 to cover late fee.

If the check is inadvertently omitted, or should any additional fees under 37 C.F.R. §§ 1.16 to 1.21 be required for any reason relating to the enclosed materials, or should an overpayment be included herein, the Assistant Commissioner is authorized to deduct or credit said fees from or to **Williams, Morgan & Amerson's Deposit Account No. 50-0786/2000.039000**. Please date stamp and return the accompanying postcard to evidence receipt of these documents.

Applicants note that through error and without deceptive intent, the original Declaration signed by Frederick D. Weber contained extraneous matter. Applicants herewith file a corrected Declaration, naming the two inventors, signed by Frederick D. Weber. The Original Declaration signed by Dale E. Gulick is correct.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Louis H. Iselin", written over a horizontal line.

Louis H. Iselin  
Reg. No. 42,684

WILLIAMS, MORGAN & AMERSON  
7676 Hillmont, Suite 250  
Houston, Texas 77040  
(713) 934-4089

Date: August 28, 2001



#4 Receipt

CERTIFICATE OF MAILING 37 C.F.R. § 1.8	
I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage as First Class Mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on the date below:	
8-28-01 Date	Deborah M. Miman Signature

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:  
Frederick Weber  
Dale E. Gulick

Serial No.: 09/871,084

Filed: 05/30/2001

For: LOCKING MECHANISM OVERRIDE  
AND DISABLE FOR PERSONAL  
COMPUTER ROM ACCESS  
PROTECTION

Group Art Unit: 2131

Examiner: Unknown

Atty. Dkt. No.: 2000.039000

**REQUEST FOR CORRECTED FILING RECEIPT**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

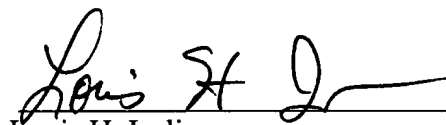
A corrected filing receipt is hereby requested in view of the errors that appear in the original. For the convenience of the Patent and Trademark Office, attached is a photocopy of the original receipt on which the errors have been noted in red. Copies of pp. 2-3 of the Application as filed are included, with the Priority Data as claimed underlined in red.

Note that the inventorship was incorrect in only one place in the Application as filed, the one place that the Office chose for recordation. With the filing of the Corrected Declaration included herewith, the Application as a whole is now consistent.

No fee is believed to be due in connection with the filing of this document. However, should any fee under 37 C.F.R. §§ 1.16 to 1.21 be deemed necessary for any reason relating to this document, the Assistant Commissioner is hereby authorized to deduct said fee from Williams, Morgan & Amerson, P.C. Deposit Account No. 50-0786/2000.039000.

Please date stamp and return the enclosed postcard evidencing receipt of these materials.

Respectfully submitted,

  
\_\_\_\_\_  
Louis H. Iselin  
Reg. No. 42,684

WILLIAMS, MORGAN & AMERSON  
7676 Hillmont, Suite 250  
Houston, Texas 77040  
(713) 934-4089

Date: August 28, 2001



## LOCKING MECHANISM OVERRIDE AND DISABLE FOR PERSONAL COMPUTER ROM ACCESS PROTECTION

This Application is a continuation-in-part of co-pending U.S. Patent Application No.

5    09/853,395, entitled, "Enhanced Security and Manageability using Secure Storage in a  
Personal Computer System," filed on May 11, 2001, whose inventors are Geoffrey S.  
Strongin and Dale E. Gulick. This Application is also a continuation-in-part of co-pending  
U.S. Patent Application No. 09/853,446, entitled, "Resource Sequester Mechanism," filed on  
May 11, 2001, whose inventor is and Dale E. Gulick. This Application is also a continuation-  
10   in-part of co-pending U.S. Patent Application No. 09/853,447, entitled, "Integrated Circuit  
for Security and Manageability," filed on May 11, 2001, whose inventors are Dale E. Gulick  
and Geoffrey S. Strongin. This Application is also a continuation-in-part of co-pending U.S.  
Patent Application No. 09/853,225, entitled, "System Management Mode Duration and  
Management," filed on May 11, 2001, whose inventors are Geoffrey S. Strongin and Dale E.  
15   Gulick. This Application is also a continuation-in-part of co-pending U.S. Patent Application  
No. 09/854,040, entitled, "Cryptographic Randomness Register for Computer System  
Security," filed on May 11, 2001, whose inventor is Dale E. Gulick. This Application is also  
a continuation-in-part of co-pending U.S. Patent Application No. 09/853,443, entitled,  
"Protection Mechanism for Biometric Input Data," filed on May 11, 2001, whose inventors  
20   are Dale E. Gulick and Geoffrey S. Strongin. This Application is also a continuation-in-part  
of co-pending U.S. Patent Application No. 09/853,437, entitled, "Personal Computer Security  
Mechanism," filed on May 11, 2001, whose inventors are Geoffrey S. Strongin and Dale E.  
Gulick. This Application is also a continuation-in-part of co-pending U.S. Patent Application  
No. 09/853,335, entitled, "Asset Sharing between Host Processor and Security Hardware,"  
25   filed on May 11, 2001, whose inventors are Geoffrey S. Strongin and Dale E. Gulick. This



Application is also a continuation-in-part of co-pending U.S. Patent Application No. 09/853,234, entitled, "Interruptable and Re-enterable System Management Mode Programming Code," filed on May 11, 2001, whose inventors are Geoffrey S. Strongin and Dale E. Gulick. This Application is also continuation-in-part, as are each of the above filed  
5 on May 11, 2001, of co-pending U.S. Patent Application No. 09/852,372, entitled, "Secure Execution Box and Method," filed on May 10, 2001, whose inventors are Dale E. Gulick and Geoffrey S. Strongin. This Application is also a continuation-in-part, as are each of the above filed on May 11, 2001, of co-pending U.S. Patent Application No. 09/852,942,  
entitled, "Computer System Architecture for Enhanced Security and Manageability," filed on  
10 May 10, 2001, whose inventors are Geoffrey S. Strongin and Dale E. Gulick.

## **BACKGROUND OF THE INVENTION**

### **1. FIELD OF THE INVENTION**

This invention relates generally to computing systems, and, more particularly, to an  
15 locking mechanism override and disable for controlling access to secure hardware, such as a secured ROM, in a personal computer system.

### **2. DESCRIPTION OF THE RELATED ART**

Fig. 1A illustrates an exemplary computer system 100. The computer system 100  
20 includes a processor 102, a north bridge 104, memory 106, Advanced Graphics Port (AGP) memory 108, a Peripheral Component Interconnect (PCI) bus 110, a south bridge 112, a battery, an AT Attachment (ATA) interface 114 (more commonly known as an Integrated Drive Electronics (IDE) interface), a universal serial bus (USB) interface 116, a Low Pin Count (LPC) bus 118, an input/output controller chip (SuperI/O™) 120, and BIOS memory  
25 122. It is noted that the north bridge 104 and the south bridge 112 may include only a single